

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No.  
12951US01

Applicants: Roger Cayton and Richard W. Brotzman, Jr. )  
)  
Title: SUBSTANTIALLY TRANSPARENT, )  
ABRASION-RESISTANT FILMS )  
CONTAINING SURFACE-TREATED )  
NANOCRYSTALLINE PARTICLES )  
)  
Serial No: 09/726,686 )  
)  
Filed: November 29, 2000 )

#5

**REVOCATION OF PRIOR POWER OF ATTORNEY,  
APPOINTMENT OF NEW ATTORNEYS, AND  
NOTICE OF CHANGE OF CORRESPONDENCE ADDRESS**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

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The undersigned, Gina Kritchevsky, an authorized officer of the Nanophase Technologies Corporation which is the owner of the application identified above, hereby revokes any and all previous Powers of Attorney and hereby appoints the following attorneys to prosecute and transact all business in the U.S. Patent and Trademark Office connected with the subject application:

<u>Name</u>	<u>Reg. No.</u>
Annette M. McGarry	34,671
Judie D. Dziezak	40,599
Timothy J. Keefer	35,567
Thomas J. Ring	29,971
Gary R. Gillen	35,157
David A. Frey	43,618
Doug S. Rupert	44,434
Dennis K. Scheer	39,356
Mark D. Kelly	39,467
Susan L. Lukasik	35,261

practicing with the firm of Wildman, Harrold, Allen & Dixon, 225 West Wacker Drive, Chicago, Illinois 60606-1229.

Please direct all correspondence, telephone calls, faxes, and emails to:

Judie D. Dziezak  
Wildman, Harrold, Allen & Dixon  
225 West Wacker Drive  
Chicago, Illinois 60606-1229

Telephone number, direct: (312)201-2980  
Firm's telephone number: (312)201-2000  
Fax number: (312)201-2555  
Email: dziezak@wildmanharrold.com.

Nanophase Technologies Corporation

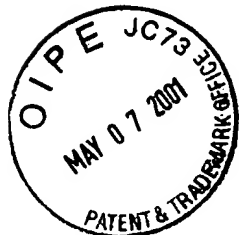
By: \_\_\_\_\_

  
Gina Kritchevsky

Title: Vice President, Technology  
and Engineering

Date: \_\_\_\_\_

4/13/01



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Serial No: 09/726,686 )  
Filed: November 29, 2000 )

**STATEMENT UNDER 37 CFR 3.73(b)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Nanophase Technologies Corporation states that it is the Assignee of the entire right, title, and interest in the patent application identified above by virtue of an assignment from the inventors of such patent application. The assignment, a copy of which is enclosed, was mailed to the U.S. Patent and Trademark Office for recording.

The undersigned, Gina Kritchevsky, is an authorized officer of Nanophase Technologies Corporation and is authorized to act on its behalf.

Nanophase Technologies Corporation

Date: 4/13/01

By:   
Gina Kritchevsky

Title: Vice President, Technology  
and Engineering

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FORM PTO-1595

12951US01

U.S. DEPARTMENT OF COMMERCE  
RECORDATION FORM COVER SHEET

Patent and Trademark Office

## PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copies thereof.

## 1. Name of conveying party(ies):

Roger Cayton,  
Richard W. Brotzman, Jr., and  
Marc KullbergAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other: \_\_\_\_\_

Execution Date: January 29, 2001

## 2. Name and address of receiving party(ies):

Nanophase Technologies Corporation  
1319 Marquette Drive  
Romeoville, Illinois 60446Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No. 09/726,686

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Thomas J. Wimbiscus  
McAndrews, Held & Malloy, Ltd.  
500 West Madison Street  
34th Floor  
Chicago, Illinois 60661

## 6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number: 13-0017

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Signature and Registration Number: Thomas J. Wimbiscus 36,059 Date: February 5, 2001Name of Person Signing: Thomas J. Wimbiscus

Total number of pages including cover sheet, attachments and document: 6

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Box Assignments, Assistant Commissioner for Patents, Washington, D.C. 20231, on this date: February 5, 2001.

By: Thomas J. Wimbiscus  
Thomas J. Wimbiscus, Reg. No. 36,059

**ASSIGNMENT**  
**(Joint Inventorship)**

Attorney Docket No. 12951US01

Inventor(s): Roger Cayton  
Richard W. Brotzman, Jr.  
Marc Kullberg

Application Serial No. 09/726,686

Filing Date: November 29, 2000

We, Roger Cayton, a resident of City of Naperville, in the County of DuPage, State of Illinois, and Country of U.S.A.; Richard W. Brotzman, Jr., a resident of the City of Naperville, County of DuPage, State of Illinois, and Country of U.S.A.; and Marc Kullberg, a resident of the Village of Lisle, County of DuPage, State of Illinois, and Country of U.S.A.; have made an invention comprising certain new, useful, and nonobvious improvements in a

**SUBSTANTIALLY TRANSPARENT, ABRASION-RESISTANT  
FILMS CONTAINING SURFACE-TREATED  
NANOCRYSTALLINE PARTICLES**

Said invention is described or intended to be described and set forth in the patent application presently identified as U.S. Non-Provisional Patent Application Serial No. 09/726,686, filed on November 29, 2000, under Attorney Docket No. 12650US01.

Nanophase Technologies Corporation, a corporation organized and existing under and by virtue of the laws of the State of Delaware and having a place of business at Romeoville, Illinois (hereinafter: "said assignee") desires to acquire the entire right, title, and interest in and to said invention, said application, and any Letters Patent which may be granted for said invention, said application, and any and all divisions, continuations, continuations in part, reissues, reexamination certificates, foreign counterparts, and extensions thereof.

We warrant and represent that we conceived said invention, that no one other than the above-mentioned inventors is a joint inventor of said invention, and that we have not assigned or agreed to assign any rights in said invention or said application to anyone other than said assignee or a predecessor in interest to said assignee.




NOW, THEREFORE, in consideration of one dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, we hereby assign to said assignee, its successors and assigns, the entire worldwide right, title, and interest in and to said invention, said application, and any Letters Patent which may be granted for said invention, said application, and any and all divisions, continuations, continuations in part, reissues, reexamination certificates, substitutes, and extensions of said application (each of which is included herein as a part of "said application"), including but not limited to all my United States and other national rights to said invention and said application and all my rights under the Paris Convention for the Protection of Industrial Property and all other applicable treaties or laws in respect to said invention and said application.

We hereby authorize and request the United States Commissioner of Patents and Trademarks to issue any Letters Patent which may be granted for said invention or upon said application to said assignee, its successors and assigns, in accordance with this assignment.

We hereby authorize said assignee to apply for patents on said invention in foreign countries, claiming the filing date of said application under the provisions of the Paris Convention for the Protection of Industrial Property and all other applicable treaties and laws, and we further agree to execute any and all documents that may be required or desired by said assignee in order that said assignee may apply for Letters Patent on said invention in foreign countries in our names or its name.


We hereby agree to promptly communicate to said assignee or its representatives any facts known to us respecting said invention or said application; to testify in any legal proceeding relating thereto; to sign all lawful papers, including but not limited to all divisional, continuing, continuing in part, reissue, substitute, and extension applications, all rightful oaths or declarations, and documents confirming or substituting for this assignment.

SIGNED in the City/Village of Loneville, in the State of Illinois, this 29<sup>th</sup> day of January, 2001.

    
Roger Cayton

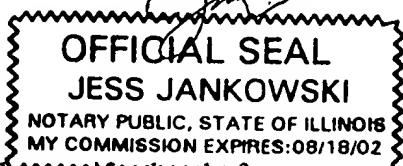
I hereby certify that before me personally appeared Roger Cayton to me known and known to me to be the individual described in the foregoing instrument, and that in my presence executed this instrument and who by me having been sworn did acknowledge that she executed the instrument as her free act and deed on the day and year aforesaid.

SEAL:

  
Notary Public



SIGNED in the City/Village of Romeoville, in the State of Illinois, this  
29 day of Jan, 2001.

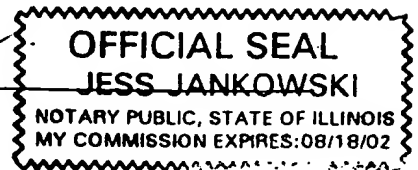


Richard W. Brotzman, Jr.  
Richard W. Brotzman, Jr.

I hereby certify that before me personally appeared Richard W. Brotzman, Jr., to me known and known to me to be the individual described in the foregoing instrument, and that in my presence executed this instrument and who by me having been sworn did acknowledge that she executed the instrument as her free act and deed on the day and year aforesaid.

SEAL:

Jess Jankowski  
Notary Public



SIGNED in the City/Village of Romeoville, in the State of Illinois, this  
29 day of Jan, 2001.



Marc Kullberg  
Marc Kullberg

I hereby certify that before me personally appeared Marc Kullberg to me known and known to me to be the individual described in the foregoing instrument, and that in my presence executed this instrument and who by me having been sworn did acknowledge that she executed the instrument as her free act and deed on the day and year aforesaid.

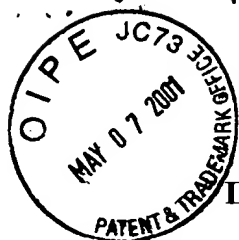
SEAL:

Jess Jankowski  
Notary Public



1773

Attorney Docket No.  
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In re Application of: Roger Cayton and	)	SUBSTANTIALLY TRANSPARENT,
Richard W. Brotzman, Jr.	)	ABRASION-RESISTANT FILMS
	)	CONTAINING SURFACE-TREATED
Serial No.: 09/726,686	)	NANOCRYSTALLINE
	)	PARTICLES
Issued: November 29, 2000	)	

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TRANSMITTAL LETTER

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Please find enclosed the following in the above referenced patent application:

1. Executed Revocation of Prior Power of Attorney, Appointment of New Attorneys, and Notice of Change of Correspondence Address; and
2. Statement under CFR 3.73(b).

Please acknowledge receipt of the above by returning the enclosed stamped, self-addressed receipt postcard.

Please charge any additional fees to **Deposit Account No. 23-2126**. A duplicate of this transmittal is enclosed.

Respectfully submitted,

Date: May 1, 2001

By: Judie D. Dziezak  
Judie D. Dziezak, Reg. No. 40,599

Wildman, Harrold, Allen & Dixon  
225 West Wacker Drive  
Chicago, IL 60606  
Ph. (312) 201-2000  
Fax (312) 201-2555

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited  
With the United States Postal Service as first class  
Mail in an envelope addressed to the Assistant  
Commissioner for Patents, Washington, D.C.  
20231 on 5-2-01.

Gail Kaleta  
Gail Kaleta